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AC

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Sorrells *et al.*

Appl. No.: 09/550,644

Filed: April 14, 2000

For: **Method and System for Down-  
Converting an Electromagnetic  
Signal, Transforms for Same,  
and Aperture Relationships**

Confirmation No.: 9317

Art Unit: 2681

Examiner: Gelin, Jean Alland

Atty. Docket: 1744.0010009

**Sixth Supplemental Information Disclosure Statement**

Commissioner for Patents  
PO Box 1450  
Alexandria, VA 22313-1450

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**Technology Center 2600**

Sir:

Listed on accompanying Form PTO-1449 are documents that may be considered material to the examination of this application, in compliance with the duty of disclosure requirements of 37 C.F.R. §§ 1.56, 1.97 and 1.98. The numbering on this Sixth Supplemental Information Disclosure Statement is a continuation of the numbering in Applicants' Fifth Supplemental Information Disclosure Statement filed on September 3, 2003 in connection with the above-captioned application.

In addition to providing hard copies of the documents as required by applicable rules, Applicants herewith provide a Compact Disc labeled "Disc 3" having stored thereon searchable electronic copies (in PDF format) of the documents listed on the PTO-1449. More specifically, the CD contains electronic copies of documents AB55-AI55, AA56-AI56, AA57-AG57, AL23, AN59, and AO59. In addition, the CD also contains electronic copies of documents AC46-AI46, AA47-AI47, AA48-AI48, AA49-AC49, AG49-AI49, AA50-AI50, AA51-AI51, AA52, AB52, AF52-AI52, AA53-AI53,

AA54-AI54, AA55, AM13, AJ14-AM14, AJ15-AM15, AJ16-AM16, AJ17-AM17, AJ18-AM18, AJ19-AM19, AJ20-AM20, AJ21-AM21, AJ22-AM22, AJ23, AK23, AQ51, AR51, AN52-AR52, AN53-AR53, AN54-AR54, AN55-AR55, AN56-AR56, AN57-AR57, and AN58-AR58, all of which were cited in the present application in previous Information Disclosure Statements. Documents AH57, AI57, AA58-AI58, AA59-AI59, AA60-AI60, AA61, and AB61 have not been scanned. The file names on the CDs correspond to the identifiers on the PTO-1449 forms. It is noted that the CDs are being provided in addition to hard copies of the documents for the convenience of the Examiner.

Applicants have listed publication dates on the attached PTO-1449 based on information presently available to the undersigned. However, the listed publication dates should not be construed as an admission that the information was actually published on the date indicated.

Applicants reserve the right to establish the patentability of the claimed invention over any of the information provided herewith, and/or to prove that this information may not be prior art, and/or to prove that this information may not be enabling for the teachings purportedly offered.

Applicants provide the following comments regarding the documents:

Documents AB55 and AC55 were cited in an Office Action in related U.S. Patent Application No. 09/550,642, filed April 14, 2000, entitled "Method and System for Down-converting an Electromagnetic Signal, and Transforms for Same," directed to related subject matter.

Documents AD55, AC56, AI56, AA57, AF57, and AG57 are co-owned patents which are directed to related subject matter.

Documents AE55-AI55 were cited in an Office Action in related U.S. Patent Application No. 09/548,923, filed April 13, 2000, entitled "Method and System for Frequency Conversion with Modulation Embodiments," directed to related subject matter. Also cited in the Office Action were U.S. Patent Nos. 6,091,940 and 6,353,735, which have already been cited in the present application in a previous Information Disclosure Statement.

Documents AA56 and AB56 were cited in an Office Action in related U.S. Patent Application No. 09/543,867, filed April 5, 2000, entitled "Automated Meter Reader Applications of Universal Frequency Translation," directed to related subject matter.

Documents AC56, AI56, AA57, AF57, AG57, and AE60 were cited in a Notice of Allowance in related U.S. Patent Application No. 09/838,387, filed April 20, 2001, entitled "Method and System for Down-Converting and Up-Converting an Electromagnetic Signal, and Transforms for Same," directed to related subject matter. Also cited in said Notice of Allowance were U.S. Patent Nos. 5,937,013 and 6,061,551, which have already been cited in the present application in previous Information Disclosure Statements.

Documents AD56 and AE56 were cited in an Office Action in related U.S. Patent Application No. 10/317,181, filed December 12, 2002, entitled "Differential Frequency Down-Conversion Using Techniques of Universal Frequency Translation Technology," directed to related subject matter.

Documents AF56 and AG56 were cited in an Office Action in related U.S. Patent Application No. 10/317,165, filed December 12, 2002, entitled "Method and Apparatus for Reducing DC Offsets in Communication Systems Using Universal Frequency Translation Technology," directed to related subject matter.

Documents AH56, AB57, and AN59 were cited in an Office Action in related U.S. Patent Application No. 09/567,977, filed May 10, 2000, entitled, "Optical Down-converter Using Universal Frequency Translation Technology," directed to related subject matter.

Documents AC57-AE57, AL23, and AO59 were cited in an Office Action in related U.S. Patent Application No. 09/669,634, filed September 26, 2000, entitled "High Frequency Translator and Method of High Frequency Translation," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 6,049,706; 6,421,534; and 6,560,301, which have already been cited in the present application in previous Information Disclosure Statements.

Documents AH57, AI57, AA58, and AB58 were cited in an Office Action in related U.S. Patent Application No. 09/567,978, filed May 10, 2000, entitled "Carrier and Clock Recovery Using Universal Frequency Translation," directed to related subject matter. Also cited in said Office Action was U.S. Patent No. 5,937,013, which has already been cited in the present application in a previous Information Disclosure Statement.

Documents AC58 and AD58 were cited in a Notice of Allowance in related U.S. Patent Application No. 10/330,219, filed December 30, 2002, entitled "Methods and

Systems for Down-Converting Electromagnetic Signals, and Applications Thereof," directed to related subject matter.

Documents AE58-AI58 and AA59-AG59 were cited in an Office Action in related U.S. Patent Application No. 09/566,188, filed May 5, 2000, entitled "Integrated Frequency Translation and Selectivity with Gain Control Functionality, and Applications Thereof," directed to related subject matter.

Documents AH59 and AI59 were cited in an Office Action in related U.S. Patent Application No. 09/632,856, filed August 4, 2000, entitled "Wireless Local Area Network (WLAN) Using Universal Frequency Translation Technology Including Multi-Phase Embodiments and Circuit Implementation," directed to related subject matter.

Documents AA60-AC60 were cited in an Office Action in related U.S. Patent Application No. 09/569,044, filed May 10, 2000, entitled "Universal Platform Module and Methods and Apparatuses Relating Thereto Enabled by Universal Frequency Translation Technology," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 2,057,613; 2,241,078; 2,283,575; 2,358,152; 2,410,350; 2,451,430; 2,472,798; 4,653,117; and 5,241,561, which have already been cited in the present application in a previous Information Disclosure Statement.

Document AD60 was cited in an Office Action in related U.S. Patent Application No. 10/289,377, filed November 7, 2002, entitled "Method and Apparatus for Reducing DC Offsets in a Communication System," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 5,471,665; 5,793,817; and 5,898,912, which have already been cited in the present application in a previous Information Disclosure Statement.

Documents AF60 and AG60 were cited in an Office Action in related U.S. Patent Application No. 09/525,185, filed March 14, 2000, entitled "Spread Spectrum Applications of Universal Frequency Translation Technology," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 5,339,459; 5,369,789; and 5,937,013, which have already been cited in the present application in previous Information Disclosure Statements.

Documents AH60, AI60, AA61, and AB61 were cited in an Office Action in related U.S. Patent Application No. 09/569,045, filed May 10, 2000, entitled "Methods and Apparatuses Relating to a Universal Platform Module and Enabled by Universal Frequency Translation Technology," directed to related subject matter. Also cited in said Office Action were U.S. Patent Nos. 5,339,459 and 5,557,641, which have already been cited in the present application in a previous Information Disclosure Statement.

Document AK23 was cited in an Office Action in related Japanese Patent Application No. 2000-577,764, filed June 21, 2000, entitled "Applications of Frequency Translation," directed to related subject matter.

It is noted that some of these documents could be classified in more than one of the above categories.

This statement should not be construed as a representation that information more material to the examination of the present patent application does not exist. The Examiner is specifically requested not to rely solely on the material submitted herewith.

Applicants have checked the appropriate boxes below.

- ☐ 1. Statement under 37 C.F.R. 1.704(d). Each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign

patent office in a counterpart application and this communication was not received by any individual designated in 37 C.F.R. § 1.56(c) more than thirty days prior to the filing of this information disclosure statement.

- ☒ 2. Filing under 37 C.F.R. § 1.97(b). This Information Disclosure Statement is being filed before the mailing date of a first Office Action on the merits. No statement or fee is required.
- ☐ 3. Filing under 37 C.F.R. § 1.97(c). This Information Disclosure Statement is being filed more than three months after the U.S. filing date AND after the mailing date of the first Office Action on the merits, but before the mailing date of a Final Rejection, or Notice of Allowance, or an action that otherwise closes prosecution in the application.
- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ c. Attached is our PTO-2038 Credit Card Payment Form in the amount of \$\_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p).
- ☐ 4. Filing under 37 C.F.R. § 1.97(d) This Information Disclosure Statement is being filed more than three months after the U.S. filing date and after the mailing date of a Final Rejection or Notice of Allowance, but before payment of the Issue Fee.

Enclosed find our PTO-2038 Credit Card Payment Form in the amount of \$ \_\_\_\_\_ in payment of the fee under 37 C.F.R. § 1.17(p); in addition:

- ☐ a. Statement under 37 C.F.R. § 1.97(e)(1). I hereby state that each item of information contained in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(1).
- ☐ b. Statement under 37 C.F.R. § 1.97(e)(2). I hereby state that no item of information in this Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to my knowledge after making reasonable inquiry, was known to any individual designated in 37 C.F.R. § 1.56(c) more than three months prior to the filing of this Information Disclosure Statement. 37 C.F.R. § 1.97(e)(2).
- ☐ 5. The document(s) was/were cited in a search report by a foreign patent office in a counterpart foreign application. Submission of an English language version of the search report that indicates the degree of relevance found by the foreign office is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.
- ☒ 6. A concise explanation of the relevance of non-English language document AL23 appears below:  
Document AL23 (DE 196 48 915 A1) appears to describe a process of frequency conversion. An English-language translation of document AL23 is enclosed as document AO59.
- ☒ 7. Copies of the documents are enclosed.



is provided in satisfaction of the requirement for a concise explanation of relevance. 1138 OG 37, 38.

- ☒ 6. A concise explanation of the relevance of non-English language document AL23 appears below:

Document AL23 (DE 196 48 915 A1) appears to describe a process of frequency conversion. An English-language translation of document AL23 is enclosed as document AO59.

- ☒ 7. Copies of the documents are enclosed.

It is respectfully requested that the Examiner initial and return a copy of the enclosed PTO-1449, and indicate in the official file wrapper of this patent application that the documents have been considered.

The U.S. Patent and Trademark Office is hereby authorized to charge any fee deficiency, or credit any overpayment, to our Deposit Account No. 19-0036.

Respectfully submitted,

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.

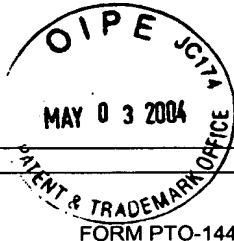


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Date: 5/3/04

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SIXTH SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT	ATTY. DOCKET NO. 1744.0010009	APPLICATION NO. 09/550,644
	INVENTORS SORRELLS <i>et al.</i>	
	FILING DATE April 14, 2000	ART UNIT 2681

### U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA						
	AB55	6,026,286	02/2000	Long			
	AC55	6,178,319 B1	01/2001	Kashima			
	AD55	6,634,555 B1	10/2003	Sorrells <i>et al.</i>			
	AE55	3,736,513	05/1973	Wilson			
	AF55	4,488,119	12/1984	Marshall			
	AG55	4,633,510	12/1986	Suzuki <i>et al.</i>			
	AH55	5,369,789	11/1994	Kosugi <i>et al.</i>			
	AI55	5,416,449	05/1995	Joshi			

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### FOREIGN PATENT DOCUMENTS

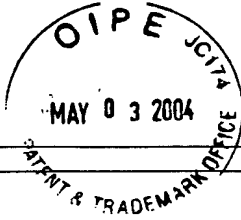
EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AJ						Yes No
	AK						Yes No
	AL23	DE 196 48 915 A1	06/1998	DE			YES (Doc. AO59)
	AM						Yes No

### OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

AN	59	Simoni, A. <i>et al.</i> , "A Single-Chip Optical Sensor with Analog Memory for Motion Detection," <i>IEEE Journal of Solid-State Circuits</i> , IEEE, Vol. 30, No. 7, pp. 800-806 (July 1995).
AO	59	English Translation of German Patent Publication No. DE 196 48 915 A1, 10 pages.
AP		
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EXAMINER	DATE CONSIDERED
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**EXAMINER:** Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.



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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA56	5,438,329	08/1995	Gastouniotis <i>et al.</i>			
	AB56	6,611,569 B1	08/2003	Schier <i>et al.</i>			
	AC56	6,647,250 B1	11/2003	Bultman <i>et al.</i>			
	AD56	5,682,099	10/1997	Thompson <i>et al.</i>			
	AE56	6,094,084	07/2000	Abou-Allam <i>et al.</i>			
	AF56	6,067,329	05/2000	Kato <i>et al.</i>			
	AG56	6,516,185 B1	02/2003	MacNally			
	AH56	6,608,647 B1	08/2003	King			
	AI56	6,687,493 B1	02/2004	Sorrells <i>et al.</i>			

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## FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB-CLASS	TRANSLATION
	AJ						Yes No
	AK						Yes No
	AL						Yes No
	AM						Yes No

## OTHER (Including Author, Title, Date, Pertinent Pages, etc.)

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## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA57	6,694,128 B1	02/2004	Sorrells <i>et al.</i>			
	AB57	6,031,217	02/2000	Aswell <i>et al.</i>			
	AC57	5,955,992	09/1999	Shattil			
	AD57	5,999,561	12/1999	Naden <i>et al.</i>			
	AE57	6,686,879 B2	02/2004	Shattil			
	AF57	6,704,549 B1	03/2004	Sorrells <i>et al.</i>			
	AG57	6,704,558 B1	03/2004	Sorrells <i>et al.</i>			
	AH57	5,490,176	02/1996	Peltier			
	AI57	5,970,053	10/1999	Schick <i>et al.</i>			

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	AM						Yes No

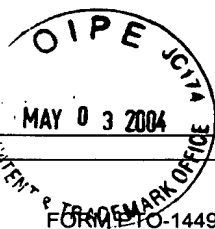
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EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA58	6,078,630	06/2000	Prasanna			
	AB58	6,600,911 B1	07/2003	Morishige <i>et al.</i>			
	AC58	5,179,731	01/1993	Tränkle <i>et al.</i>			
	AD58	5,589,793	12/1996	Kassapian			
	AE58	4,510,467	04/1985	Chang <i>et al.</i>			
	AF58	4,772,853	09/1988	Hart			
	AG58	4,972,436	11/1990	Halim <i>et al.</i>			
	AH58	5,012,245	04/1991	Scott <i>et al.</i>			
	AI58	5,422,909	06/1995	Love <i>et al.</i>			

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	AM						Yes No

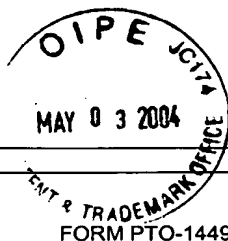
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	AA59	5,440,311	08/1995	Gallagher <i>et al.</i>			
	AB59	5,926,513	07/1999	Suominen <i>et al.</i>			
	AC59	5,995,030	11/1999	Cabler			
	AD59	6,047,026	04/2000	Chao <i>et al.</i>			
	AE59	6,049,573	04/2000	Song			
	AF59	6,076,015	06/2000	Hartley <i>et al.</i>			
	AG59	6,144,331	11/2000	Jiang			
	AH59	6,018,553	01/2000	Sanielevici <i>et al.</i>			
	AI59	6,317,589 B1	11/2001	Nash			

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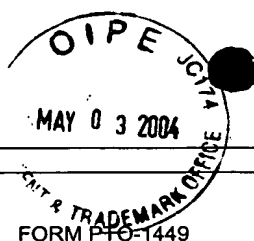
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	AA60	5,058,107	10/1991	Stone <i>et al.</i>			
	AB60	5,757,858	05/1998	Black <i>et al.</i>			
	AC60	6,531,979 B1	03/2003	Hynes			
	AD60	6,018,262	01/2000	Noro <i>et al.</i>			
	AE60	4,761,798	08/1988	Griswold, Jr. <i>et al.</i>			
	AF60	5,982,315	11/1999	Bazarjani <i>et al.</i>			
	AG60	6,459,721 B1	10/2002	Mochizuki <i>et al.</i>			
	AH60	6,151,354	11/2000	Abbey			
	AI60	6,169,733 B1	01/2001	Lee			

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FORM PTO-1449

SIXTH SUPPLEMENTAL  
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1744.0010009APPLICATION NO.  
09/550,644INVENTORS  
SORRELLS *et al.*FILING DATE  
April 14, 2000ART UNIT  
2681

## U.S. PATENT DOCUMENTS

EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUB-CLASS	FILING DATE
	AA61	6,363,262 B1	03/2002	McNicol			
	AB61	6,697,603 B1	02/2004	Lovinggood <i>et al.</i>			
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	AM						Yes No

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